

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2431513
<b>Application Number:</b>	10828269
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5446
<b>Title of Invention:</b>	Risk management system and method providing rule-based evolution of a portfolio of instruments
<b>First Named Inventor/Applicant Name:</b>	Jim Degraaf
<b>Customer Number:</b>	1059
<b>Filer:</b>	Kendrick Lo./Shelley Cotgrave
<b>Filer Authorized By:</b>	Kendrick Lo.
<b>Attorney Docket Number:</b>	11483-174
<b>Receipt Date:</b>	06-NOV-2007
<b>Filing Date:</b>	21-APR-2004
<b>Time Stamp:</b>	15:40:41
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 120
RAM confirmation Number	859
Deposit Account	022095
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17	

### File Listing:

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Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	Extension of Time	Ext_of_Time.pdf	104543	no	1
			537936731b7b79339274eeb37e59207cd61902c1		
Warnings:					
Information:					
2		Amendment.pdf	517030	yes	13
			1414f0b98830df875eb00171bd678ac767e877d8		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Amendment - After Non-Final Rejection		1	1	
	Claims		2	11	
	Applicant Arguments/Remarks Made in an Amendment		12	13	
Warnings:					
Information:					
3		IDS.pdf	107158	yes	2
			48b6a159496f988dea21bf22337600591856fedc		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Information Disclosure Statement Letter		1	1	
	Information Disclosure Statement (IDS) Filed		2	2	
Warnings:					
Information:					
4	NPL Documents	recent_press_releases.pdf	108006	no	2
			eadfb1a54310c3d98165e1113c32e64e0dc49209		
Warnings:					
Information:					
5	NPL Documents	RiskWatch3_1.pdf	323059	no	34
			e44ebd0e0cb07fe0367ba33c36de56c645f59efd		
Warnings:					
Information:					
6	NPL Documents	RiskWatch3_1_2.pdf	369594	no	42
			64687b513f8920297b1638c011efb60af297a21f		

<b>Warnings:</b>					
<b>Information:</b>					
7	Fee Worksheet (PTO-06)	fee-info.pdf	8190	no	2
			36eac1cbe39715c976bd591200592edc8c40c0ef		
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			1537580		
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>  If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					